

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express mail in EV 327168538 US in an envelope, with sufficient postage, addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

February 26, 2004
Date of Deposit

Amir N. Penn (40,767)
Name of Applicant, Assignee or
Registered Representative

Amir N. Penn
Signature

February 26, 2004
Date of Signature

Our Case No.: 10022-442

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Francis X. Shields, Todd W. Bessemer,
and Mark A. Ruane

Serial No.: TBA

Filing Date: February 26, 2004

For: SPOT MARKET CLEARING

Examiner: TBA

Group Art Unit No.: TBA

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

U.S. PATENT DOCUMENTS

DOCUMENT NUMBER Number-Kind Code (if known)	DATE	NAME
US 2003/0061143 A1	03/27/2003	Gustafson

OTHER ART – NON PATENT LITERATURE DOCUMENTS

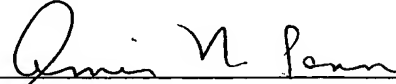
Todd W. Bessemer, Keith B. Alyea, Francis X. Shields, "Taking Care of Risky Business: Credit Risk Management in Spot Markets," Accenture, 2002, 5 pages.
Powernext User's Guide, "Everything you need to know to operate on Powernext," printed from the Internet at: http://www.powernext.fr/modules/Powernext/download/eng/User-guide_sep03.pdf , dated Version September 2003, 54 pages.
Powernext Products and Organisation, printed from the Internet at: http://www.powernext.fr/modules/Powernext/download/eng/Utilite_Brochure_publication_gb.pdf , dated February 2004, 10 pages.

In accordance with 37 C.F.R. § 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant(s) respectfully request that the listed documents be made of record
in the present case.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Amir N. Penn", written over a horizontal line.

Amir N. Penn
Registration No. 40,767
Attorney for Applicant(s)

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FORM PTO-1449	SERIAL NO. TBA	CASE NO. 10022-442
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	FILING DATE February 26, 2004	GROUP ART UNIT TBA
APPLICANT(S): Shields, et al.		

REFERENCE DESIGNATION
U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	US 2003/0061143 A1	03/27/2003	Gustafson		
	A2					
	A3					
	A4					
	A5					
	A6					
	A7					
	A8					
	A9					
	A10					
	A11					
	A12					
	A13					

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	A14					
	A15					
	A16					
	A17					
	A18					

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	
	A19	Todd W. Bessemer, Keith B. Alyea, Francis X. Shields, "Taking Care of Risky Business: Credit Risk Management in Spot Markets," Accenture, 2002, 5 pages.
	A20	Powernext User's Guide, "Everything you need to know to operate on Powernext," printed from the Internet at: http://www.powernext.fr/modules/Powernext/download/eng/User-guide_sep03.pdf , dated Version September 2003, 54 pages.
	A21	Powernext Products and Organisation, printed from the Internet at: http://www.powernext.fr/modules/Powernext/download/eng/Uti_Brochure_publique_gb.pdf , dated February 2004, 10 pages.
	A22	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.